

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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MICHAEL CARBONI and	:	
C.O.M. TRADING, INC.,	:	06 Civ. 15488 (RJH)
	:	ECF Case
Plaintiffs,	:	
	:	AFFIDAVIT OF ANNE M.
	:	FARRIS
– against –	:	
	:	
BOB LAKE and R.J. O'BRIEN &	:	
ASSOCIATES, INC.,	:	
	:	
Defendants.	:	

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STATE OF ILLINOIS)
 : ss.:
COUNTY OF COOK)

ANNE M. FARRIS, being duly sworn, deposes and says:

1. I am Director of Compliance of R.J. O'Brien and Associates, LLC, the successor to named defendant R.J. O'Brien and Associates, Inc. ("RJO"). I make this Affidavit on the basis of my personal knowledge and an examination of the books and records of RJO.

2. In December 2005 and at all relevant times, RJO was a Member Firm at the New York Mercantile Exchange, Inc.

3. In December 2005 and at all relevant times, Robert M. (Bob) Lake, Gerald F. Corcoran, Colleen Mitchell Knupp, Karen Northrup and Mary Ellen Siemens

were employees of RJO, as were John William O'Brien, Sr.; John William O'Brien, Jr.; and John William O'Brien III.


4. Helen McCarthy joined RJO as an employee in 2007. She was not previously affiliated with us.

5. RJO Holdings Corp. is a new corporation created in 2007. It is a holding company only and the parent of RJO.



ANNE M. FARRIS

Subscribed and sworn to before me
this 6th day of February, 2008.


Notary Public